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United Nations Institute for Disarmament Research

Note by the Secretary-General

The Secretary-General hereby transmits to the General Assembly the report of the Director of the United Nations Institute for Disarmament Research on the activities of the Institute for the period from August 2012 to July 2013 and the proposed programme of work and estimated budget for 2013 and 2014.

The report was considered and approved for submission to the General Assembly by the Board of Trustees of the Institute at the sixtieth session of the Secretary-General's Advisory Board on Disarmament Matters, held from 26 to 28 June 2013. The Board of Trustees stresses the importance of the activities of the Institute in supporting the efforts of the international community towards disarmament, arms control and peace and security, especially as other elements of the United Nations disarmament machinery have been struggling to make progress, indeed, even to remain relevant. However, the Board also has expressed its serious concern about both the impact on the Institute of current adverse funding circumstances and also, given the limited scope of the subvention from the United Nations regular budget towards meeting the costs of the Director and the Institute staff, about the increasingly heavy reliance necessarily placed on voluntary contributions by States Members of the United Nations to the important work of the Institute.

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Report of the Director of the United Nations Institute for Disarmament Research on the activities of the Institute for the period from August 2012 to July 2013 and the proposed programme of work and estimated budget for 2013 and 2014

Summary

The present report covers the activities of the United Nations Institute for Disarmament Research (UNIDIR) from August 2012 to July 2013. The report was considered by the Board of Trustees at the sixtieth session of the Secretary-General's Advisory Board on Disarmament Matters, held from 26 to 28 June 2013. It was prepared in compliance with General Assembly resolution 39/148 H, in which the Assembly requested the Director of UNIDIR to report annually on the activities of the Institute. The present report highlights the programmatic achievements during this period, as well as the current institutional and financial situation. By means of the present report, the Board of Trustees transmits to the Secretary-General its recommendation that a subvention be provided from the regular budget for the biennium 2014-2015 (cost-adjusted), while conveying its regret that the subvention will not, despite a decade of recommendations, be increased in the biennium 2014-2015. At the same time, the Board recommends that efforts continue to be pursued to increase the subvention, and that these efforts be supported by the Secretary-General, the Secretariat and Member States.

The work of UNIDIR is structured into five programmatic themes: weapons of mass destruction, weapons of societal disruption, security and society, emerging security threats, and process and practice. UNIDIR promotes progress on disarmament, arms control, peace and security in a number of ways, including offering analyses of current security problems with a focus on policy-oriented solutions and working closely with Member States to support ongoing negotiations.

The Director also reports on the status of voluntary funds received from Governments and other sources, which cover the vast majority of the budget of the Institute and finance all its operational activities. As voluntary funds have traditionally come from only a handful of Member States, UNIDIR has been actively seeking to expand its donor base as part of its resource mobilization strategy. Contributions earmarked for projects have been increasing slowly but steadily over the past several years, although there is increasing competition for a smaller pool of funding available.

At the same time, the Institute continues to see erosion in the volume of core contributions, despite success in attracting new donors and steadily increasing project funding. This is the essence of the problem — it is the core support that underpins the planning, management, administrative and other activities necessary for UNIDIR to give effect to its programmes and outputs, and ensures day-to-day operation of the essential support infrastructure on which both research and projects rely. This growing gap between project funding and institutional funding is unsustainable; as in any organization, there is a floor of core support required to enable the Institute to operate.

The present report highlights the continuing importance of the subvention from the United Nations regular budget. Not only does the subvention guarantee the

independence of the Director of UNIDIR, but Member States, the Board of Trustees and the General Assembly have repeatedly recommended that the subvention should, in addition, help to defray the costs of the institutional core staff.

In 2005, the General Assembly adopted resolution 60/89, and in 2010, resolution 65/87, recommending that the Secretary-General implement the relevant recommendations of the Office of Internal Oversight Services and the decisions of the Board of Trustees, and that most institutional staff costs should be funded from the regular budget within existing resources. The Director notes that in recent history the subvention has fallen far short of those costs; in 2014 the subvention will cover only 84 per cent of the cost of the Director alone.

The value of UNIDIR to the international community is based on its status as an autonomous institution within the United Nations system, and this autonomy remains critical to the Institute's ability to effectively fulfil its mandate to provide independent research and analysis to all Member States. As recently as 2011, in resolution 65/87, the General Assembly emphasized the importance of the Institute as a stand-alone, autonomous institution. In an era when much of the United Nations disarmament machinery is seized up, the proven ability of UNIDIR to provide practical, policy-oriented solutions for progress and its ability to work outside the political constraints hampering other United Nations bodies should be even more valuable to help to meet the priorities of both the Secretary-General and Member States in the disarmament arena. It thus is critical that this autonomy be preserved for the Institute to continue providing its unique supporting role. In this regard, Member States, including the Institute's largest donors, as well as the Board of Trustees, while expressing support for the overall United Nations reform process, have expressed concerns about possible negative impacts on the Institute and its work stemming from the proposal for the consolidation of UNIDIR into a larger entity focused on libraries, training and research under the United Nations change management process.

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I. Introduction

1. The present report covers the activities of the United Nations Institute for Disarmament Research (UNIDIR) during the period from August 2012 to July 2013 and the proposed programme of work and estimated budget for 2013 and 2014.

2. For more than 30 years, UNIDIR has been at the forefront of efforts to create holistic approaches to disarmament, peace and security, focusing on human security, bridge-building and raising awareness about the need for cross-stakeholder cooperation. That highlights the Institute's unique role: as a trusted member of the United Nations system and disarmament machinery, but at the same time a source of independent information and analysis, as well as an agent of change. In an era where much of the United Nations disarmament machinery remains critically challenged, the contributions of UNIDIR to progress on arms control, disarmament and security are ever more important.

3. As the global financial crisis has stricken many States, ministries of foreign affairs are seeing staff reductions and budget cuts. Thus, the services provided by UNIDIR for the diplomatic, policy and practitioner communities are increasingly in demand. Yet, under the dire economic circumstances, research and outreach efforts related to arms control and disarmament are among the first activities to be downsized, leading to a seriously degraded funding environment for voluntarily funded organizations such as UNIDIR. As a direct result of the financial crisis, between 2011 and May 2013, UNIDIR lost two full-time and one part-time core staff members. In addition, the quarterly journal *Disarmament Forum* has ceased publication owing to lack of financial support.

4. To address those circumstances, UNIDIR continues to seek economies through full-cost recovery at the project level as well as institutional processes related to project development and results-based budgeting, and implement a resource mobilization strategy. But without sustained support from Member States, not just for specific project activities but for the Institute itself, the capacity of UNIDIR to maintain a useful level of support to the Member States will be degraded.

A. Vision statement

5. The driving vision of UNIDIR is that of a world in which human security is ensured, where peace prevails over conflict, weapons of mass destruction are eliminated, conventional arms proliferation is avoided and reduced military spending accompanies global development and prosperity, as envisioned in Article 26 of the Charter of the United Nations. UNIDIR thus seeks to serve as an agent of progressive change aimed at meeting those goals.

B. Mission statement

6. As an autonomous research institute within the United Nations, the mission of UNIDIR is to assist the international community in finding and implementing solutions to disarmament and security challenges. Through its research and educational efforts, the Institute seeks to advance arms control and disarmament, contribute to conflict prevention and promote the development of a peaceful and prosperous world. UNIDIR strives to anticipate new security challenges and threats,

and to develop possible methods to address them before they become critical. Finally, UNIDIR serves as a bridge — both among United Nations disarmament, security and development organizations and between the United Nations system and the broader security community — to create the necessary synergies to address and mitigate the effects of insecurity at the international, regional and local levels.

II. Programme of work

7. The work of UNIDIR is divided into five research programmes: weapons of mass destruction; weapons of societal disruption; security and society; emerging security threats; and process and practice. This structure ensures that UNIDIR addresses a wide range of security issues as foreseen in its mandate, provides easier entry points for users of the research conducted by the Institute and helps donors to focus on their areas of interest.

A. Weapons of mass destruction

8. The mandate of UNIDIR places a high priority on work aimed at the elimination of weapons of mass destruction, particularly nuclear weapons. Projects for the current period are described below.

1. Transparency and accountability in nuclear disarmament

9. Transparency and accountability regarding nuclear weapons and materials is a critical foundation for disarmament. The project on transparency and accountability in nuclear disarmament, begun in 2012, explores legal and practical measures to expand to other nuclear-weapon States the transparency and verification arrangements that were developed as part of the Treaty between the Russian Federation and the United States of America on Measures for the Further Reduction and Limitation of Strategic Offensive Arms (the New START Treaty). A two-part study, "A New START Model for Transparency in Nuclear Disarmament", was published early in 2013. The project is seeking funding in 2013 to test a prototype of the model with a select number of States.

2. International cooperation mechanisms on nuclear security

10. UNIDIR began its project on international mechanisms for cooperation on nuclear security in 2010 and completed it in December 2012. The project achieved a better understanding among diplomats of the nuclear security agenda, the progress that has been made so far, the scope of ongoing efforts and the technical and institutional challenges. The project produced several papers on various aspects of nuclear security, as well as recommendations on ways to move forward. UNIDIR intends to deepen its work on the nuclear security culture and Security Council resolution 1540 (2004) as part of the 2013-2014 programme of work.

3. Promoting implementation of the Treaty on the Non-Proliferation of Nuclear Weapons

11. UNIDIR, in conjunction with the Geneva Forum, held six meetings in 2012-2013 on 12 specific subjects (representing the three pillars of disarmament,

non-proliferation and the peaceful uses of nuclear energy) related to the action plan on nuclear disarmament agreed at the 2010 Review Conference of the Parties to the Treaty on the Non-Proliferation of Nuclear Weapons (see NPT/CONF.2010/50 (Vol. I), part I, *Conclusions and recommendations for follow-on actions*) to support diplomats preparing for the 2012-2013 meetings of the Preparatory Committee for the 2015 Review Conference of the Parties to the Treaty on the Non-Proliferation of Nuclear Weapons. UNIDIR also co-sponsored, in April 2013, a briefing on issues related to negotiations of a fissile materials treaty in Geneva. During 2013-2014, UNIDIR will continue its support of the review process.

12. UNIDIR collaborated with the Federation of American Scientists and the Natural Resources Defense Council on a study promoting de-alerting of nuclear weapons as one of the next key steps in promoting disarmament and the goals of the Non-Proliferation Treaty. A report, "Reducing Alert Rates of Nuclear Weapons" (UNIDIR/2012/6), was produced early in 2013.

4. Support for the Open-Ended Working Group on Nuclear Disarmament

13. The General Assembly, by resolution 67/56, established an Open-Ended Working Group to develop proposals to take forward multilateral nuclear disarmament negotiations. UNIDIR has been requested to assist the Chair in conducting the Group's work, including provision of a background paper and participation of Institute staff as panellists for the Group's discussions.

5. Verification of a zone free of nuclear weapons and other weapons of mass destruction in the Middle East

14. Confidence-building and trust in a verification mechanism will be critical to achieving the long-standing goal of a zone free of weapons of mass destruction in the Middle East. UNIDIR continues to seek funds for a multi-year joint project with the Verification Research, Training and Information Centre (VERTIC) to develop verification methodologies though an interactive process with regional experts, a process that in and of itself could serve as a confidence-building measure within the Middle East. The concept is to build regional buy-in for acceptance of the zone through the process of elucidating the possible options for verification and compliance monitoring that would be acceptable to all.

6. Improving implementation of the Convention on the Prohibition of the Development, Production and Stockpiling of Bacteriological (Biological) and Toxin Weapons and on Their Destruction

15. In 2012, UNIDIR produced a study entitled "A Peer-Review Mechanism for the Biological and Toxin Weapons Convention" (UNIDIR/2012/9), aimed at exploring how a process of peer review could help States Parties to improve their implementation of the Treaty and promote confidence in compliance. The Institute is now seeking support for building and testing a prototype peer-review mechanism.

7. Supporting the Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on Their Destruction

16. In 2013, UNIDIR and the Organization for the Prohibition of Chemical Weapons began planning a structured programme of cooperation for 2013-2014 designed to support the Convention at a time of change in its focus. The first joint

briefing was held in The Hague in February 2013, entitled: "The Chemical Weapons Convention: the New Agenda". Further joint events and projects are being developed.

B. Weapons of societal disruption

17. Use of conventional weapons in conflict zones has an immediate impact on local societies. In particular, trafficking of conventional weapons has led to severe societal disruption and ineffective governance. Projects for this period are described below.

Norms on explosive weapons

18. Building on the UNIDIR project "Discourse on explosive weapons", during 2011-2012 a project focusing on norms was undertaken. The project sought to deepen the understanding of the norms governing management of explosive weapons by States and was aimed at supporting the development of policy and practice that would enhance the protection of civilians against the effects of explosive weapons. The project was completed late in 2012 and produced a study, "Protecting Civilians from the Effects of Explosive Weapons: an Analysis of International Legal and Policy Standards".

C. Security and society

19. UNIDIR was a pioneer in developing thinking about disarmament as a human security issue and the Institute coined the expression "disarmament as humanitarian action" in 2003 for a project of the same name. The interface between security and local communities and the individual is the focus of the security and society programme, with particular emphasis on how insecurity affects society and its structures. Projects for this period are described below.

1. Catastrophic humanitarian consequences of nuclear weapons

20. Building upon its well-developed body of work in this area and in the wake of the emphasis on the issue at the 2010 Review Conference, UNIDIR has turned its "disarmament as humanitarian action" lens to the issue of nuclear weapons, starting with a conference on 28 August 2012 in Geneva. UNIDIR supported the meeting in Oslo on 13 March 2013 dedicated to exploring the humanitarian impact of nuclear weapons, and produced two background papers. This issue will remain on UNIDIR's programme of work for the next year.

2. Lethal autonomous robotic technologies

21. Along with growing international concerns about the use of armed unmanned vehicles in combat, there is a need to look beyond the current capabilities and usage of armed unmanned vehicles to the implications for international security and society of the next generation of technology: autonomous robotics. The development of autonomous robotic weapons systems not only raises profound questions about the future conduct of warfare, but also societal, ethical and moral considerations. The Institute's seminar on 23 May 2013, lethal autonomous robots, was designed to bring together practitioners in the arena of human rights with the

disarmament community to begin a cross-stakeholder dialogue on this complex issue. The Institute will engage in a number of activities on this subject during its 2013-2014 programme of work.

D. Emerging security threats

22. One of UNIDIR's strengths is its role as an early warning system for trends that could emerge as serious threats to international peace and security. Raising awareness of emerging threats at an early stage is critical, so as to prevent and mitigate threats in advance of crisis tipping points. In 2012-2013, the Emerging Security Threats programme has continued to expand its work following the establishment of a programme lead in 2011, looking to develop projects in areas such as environmental security. Projects for this period are described below.

1. Cybersecurity

23. There has been increasing concern throughout the international community on issues surrounding cybersecurity. UNIDIR has long been engaged in elucidating these issues, since its first conference on the subject in 1999.

24. Pursuant to General Assembly resolution 66/24, a group of governmental experts was established in 2011 to study threats in the sphere of information security and possible cooperative measures to address them, including norms, rules or principles of responsible behaviour of States and confidence-building measures. UNIDIR was selected as consultant to the group, a role it played in the successful 2010 group of governmental experts on the same topic.

25. During 2012-2013, UNIDIR worked with partners — the Center for Strategic and International Studies and the Institute for Peace Research and Security Policy (University of Hamburg) — on an open-source survey of State activities and multilateral efforts to avoid conflict in the cyber domain. The first edition will be published in 2013. UNIDIR is convinced of the value of open-source research in this field, and is in the process of developing a project for a second edition in 2014 or 2015.

26. In November 2012, the Institute held the first of a planned annual series of conferences on cybersecurity. Similar to the annual UNIDIR international space security conference, which over the past 10 years has helped to build more universal understanding of the threats to space assets and the requirement for multilateral solutions, UNIDIR intends to use such a conference to explore the risks of cyberconflict and potential mechanisms for minimizing those risks. Conferences will be held in 2013 and 2014.

2. Space security

27. UNIDIR has been involved in research and awareness-raising on the threats to the peaceful use of space since the mid-1980s, and has held an annual space security conference since 2002.

28. In 2013, the conference theme was "Space Security 2013: enhancing confidence, ensuring space stability". This year UNIDIR provided a special briefing on space security to States Members of the African Group in Geneva. Work to develop the agenda for 2014 has commenced.

29. UNIDIR, with the support of the European Union, is working to build international understanding of, and support for, a code of conduct for outer space activities through a series of regional meetings, background papers, expert consultations and support activities throughout 2013. The project is due for completion at the end of 2013.

30. UNIDIR is acting as a consultant for the Group of Governmental Experts on Transparency and Confidence-building Measures in Outer Space Activities, mandated by the General Assembly in resolution 65/68, which will complete its work in July 2013. The Institute is developing concepts for follow-up activities focused on implementation of a transparency and confidence-building measures regime during its 2013-2014 programme of work.

E. Process and practice

31. Establishing multilateral and regional disarmament instruments is only the first step in what is often a long and complicated road to results. The placement of UNIDIR within the United Nations — yet as an autonomous body — provides the Institute a unique position from which to assess the implementation and results of disarmament instruments, develop targeted tools to assist implementation efforts and recommend improved processes and better methods of stakeholder cooperation and collaboration. Projects for this period are described below.

1. Supporting the United Nations disarmament machinery

32. UNIDIR has continued to address the issues plaguing the United Nations disarmament machinery during 2012 and 2013 through briefings and analyses, and will continue to do so under the 2014 programme of work.

33. In that period, a significant focus has been on those aspects of the mandate of the Institute that relate to assisting ongoing negotiations, pushing forward new negotiations and promoting informed participation of States. This has included analysis of the action plan approved at the 2010 Review Conference, particularly on matters of transparency in nuclear disarmament, improving the functioning and outcome of the various disarmament forums (especially the Conference on Disarmament); and consideration of the potential of alternative mechanisms and approaches for advancing the disarmament agenda. On 15 May 2013, UNIDIR co-sponsored with the Republic of Indonesia a seminar, attended by more than 100 Geneva diplomats and members of civil society, on "Exploring avenues to address the stalemate in the CD". Work designed to stimulate progress at the Conference on Disarmament will continue through the 2013-2014 period.

2. Evidence-based programming design for reintegration

34. In August 2011, UNIDIR initiated a project on evidence-based programme design for reintegration. This project was undertaken in direct support of the stated goals and the strategic priorities of the Inter-Agency Working Group on Disarmament, Demobilization and Reintegration for 2011-2013. Building upon the "best process" approach developed by UNIDIR, the present project has three phases: (a) Phase I, completed in 2012, developed a framework for working with evidence in the design of reintegration programming; (b) Phase II, initiated in April 2012 and projected to conclude in August 2013, is translating that approach into a prototype

tool and process for reintegration practitioners; and (c) Phase III will carry out both pilot testing of the prototype and capacity-building for evidence-based programme design in field offices. Fundraising is under way for phase III to carry the project through 2014.

3. Supporting negotiation of the Arms Trade Treaty

35. UNIDIR began work in 2008 to support the process of developing an arms trade treaty. In April 2013, the second round of negotiations successfully produced the first-ever treaty setting international standards for regulating the trade in conventional arms. A study on the outcome of the negotiations will be published in 2013. UNIDIR intends to build on its expertise in this area and to remain fully engaged with supporting implementation of the Arms Trade Treaty during the 2013-2014 work programme.

4. Towards greater efficiency of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects

36. Since the adoption of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects in 2001, the Institute has regularly analysed national reports submitted by Member States on their implementation activities.

37. The project entitled "Implementing the United Nations Programme of Action on Small Arms: analysis of reports submitted by States (2002-2011)", in partnership with the Small Arms Survey, was completed late in 2012. Member States have consistently used these biennial analyses in crafting measures to improve their own activities related to the Programme of Action and to bolster the regime as a whole. The most recent analysis was released in August 2012 at a side event at the review conference for the Programme of Action.

5. Supporting the use of International Small Arms Control Standards

38. UNIDIR and the Monterey Institute of International Studies are establishing concrete indicators for each module under the International Small Arms Control Standards, implemented by the United Nations Coordinating Action on Small Arms initiative, to assist with the implementation of global commitments to control small arms and light weapons through a comprehensive, yet easy to use, software tool. Following the successful building of a prototype in 2012, the tool is being tested during 2013. The final product will allow the user to generate statistics on implementation efforts, prioritize critical areas, measure implementation trends over time and identify areas for improvement. This will assist in promoting the International Small Arms Control Standards as the normative basis for assessment, evaluation and reporting on national efforts to control small arms and light weapons. Under the 2013-2014 programme of work, UNIDIR will develop concepts for the use of similar tools to be applied to other arms control regimes.

F. Education

39. In fulfilling its mandate to provide the international community with more diversified and complete data, studies and analyses, UNIDIR considers education to be a key pillar of its activities.

40. UNIDIR has recently started to publish a series of concise briefings on disarmament and security issues, entitled "Understanding Disarmament". Each volume has a single topic and covers the key historical elements, a review of the current state of affairs, significant controversies or differences in positions on the topic, potential next steps, key terminology and suggested further reading. While the primary audience for the series is disarmament decision makers and practitioners, "Understanding Disarmament" will be a useful tool for students and civil society looking for a place to learn about these issues. The first "Understanding Disarmament" volume will focus on fissile materials.

41. "Understanding Disarmament" will be produced in an electronic book format readable on mobile devices. Features of electronic books such as annotation via margin notes and links to dictionaries or to additional content make this format an ideal pedagogic tool. In addition, UNIDIR will actively encourage translation of the volumes into languages other than English.

G. Geneva Forum

42. UNIDIR is a founding partner of the Geneva Forum, along with the Quaker United Nations Office and the Centre on Conflict, Development and Peacebuilding of the Graduate Institute of International and Development Studies. The Geneva Forum builds partnerships among and between Governments, international organizations and non-governmental organizations dealing with disarmament and arms control issues of common concern. Through its public briefings and its private workshops, the Geneva Forum offers a unique space for policymakers to build arms control agendas and support current negotiations.

III. Resource mobilization strategy

43. Throughout 2012-2013, the Institute continued its focus on broadening and deepening its donor base through a targeted resource mobilization strategy. UNIDIR considers it crucial to have the widest possible donor base to reflect the mandate of the Institute to serve all Members of the United Nations. In 2012-2013, UNIDIR made considerable investment to propose a sustainable funding model for the Institute, as directed by the Department of Management of the Secretariat, "comprising regular and extrabudgetary funding required to achieve UNIDIR's mandate and objectives". This proposal, which is under review by the Board of Trustees, is expected to be submitted to the Department of Management in 2013.

44. Building new relationships. The Institute is currently in the process of building relationships with charitable foundations and familiarizing the relevant foundations with its programme of work. This is a longer-term component of the resource mobilization strategy.

45. Renewed emphasis on research partnerships. In 2013, the Institute has prioritized developing relationships with States in the Middle East and the Gulf States. It is now in the midst of a coordinated campaign to reach out to representatives from that region, meeting with the Non-Aligned Movement group in New York in early 2013, and the Group of Arab States in Geneva. UNIDIR is also now participating in the coordinating meetings of United Nations organizations with the League of Arab States.

46. Owing to its unique position within the United Nations system, partnering with other centres of excellence on disarmament and security research can offer a multiplying effect for both partners. Further, donors are increasingly encouraging collaborative efforts by research organizations, particularly between national and regional and international organizations, in order to create synergies and optimize investment. In particular, the Institute in 2013 began cooperation with the Global Partnership Against the Spread of Weapons and Materials of Mass Destruction. As the Global Partnership seeks to change its focus from primarily field operations to non-proliferation policy development and support, there is great potential for UNIDIR, owing to its expertise and experience, to play a significant role in supporting the Partnership's objectives in 2013-2014. In 2012 and 2013, UNIDIR continued activities with long-standing partners, such as the Monterey Institute of International Studies, the Secure World Foundation, the Small Arms Survey, the Center for Strategic and International Studies, Chatham House, VERTIC, the University of Peace, and the Institute for Peace Research and Security Policy (University of Hamburg).

47. Promoting better use of the Institute by Member States and the Secretariat. The General Assembly has the possibility to request UNIDIR to undertake specific studies or activities. Such a mechanism is provided for in Article 13 of the Charter of the United Nations and in article VII of the statute of UNIDIR. This possibility permits Member States to determine a topic for analysis of most value to the majority of them — rather than research topics being predominately guided by a handful of donors and their preferences. In addition, this mechanism permits a cost-effective and equitable way for all Member States to benefit from independent analysis prior to taking decisions on substantive matters in the General Assembly or its subsidiary bodies.

48. For example, UNIDIR has conducted considerable research and analysis on how to improve the lacklustre performance of most of the United Nations disarmament machinery. A comprehensive study could be undertaken at the request of the General Assembly (as it did on deterrence in 1984 or arms regulation in 1992). Or, prior to establishing a group of governmental experts, Member States could call upon UNIDIR to produce background materials, conduct a study of the critical issues or present an objective analysis of the possible avenues for progress prior to the decision as to whether to convene such a group. UNIDIR could also be requested to present studies for focused discussion within the Disarmament Commission.

IV. Communications and outreach

49. One significant indicator of the impact of the work of UNIDIR and the reputation of the Institute is the number of requests for consultative or advisory services. Staff are regularly called upon to advise, consult with or brief interested parties. These requests come from within the United Nations system; from individual Member States and regional groups; from international, multilateral and regional organizations; and from research institutes, academic bodies, the media and civil society groups. UNIDIR receives frequent requests for assistance from Presidents of the Conference on Disarmament.

50. UNIDIR continues to implement its communications and outreach strategy, with emphasis on developing the UNIDIR brand.

51. A new visual identity was launched in 2013, including a new logo. A new website was launched to make the electronic interface easier to use and introduce innovative functionalities.

52. UNIDIR continues to develop its electronic publication series. All UNIDIR publications are available for download from the UNIDIR website in their entirety, free of charge.

53. New electronic products have been introduced in 2013, including quick read (QR) codes integrated into UNIDIR flyers and materials, e-books optimized for tablets and greater exploitation of social media tools.

V. Structure, management and staffing

54. With the restructuring of the UNIDIR programme of work in 2010, a process was initiated to bring in experts for management and development of the new programmatic architecture.

55. At the same time, a 50 per cent reduction in annual institutional support provided by a key donor Government resulted in the abolishment of the post of Deputy Director in 2012. As of May 2013, one full-time institutional staffer (translator/web assistant) and one part-time editor have also been lost as a result of funding constraints. The core staff of the Institute — that is, those staff required to ensure that UNIDIR functions in compliance with United Nations administration and financial rules and regulations, to manage researchers, and to undertake day-to-day operations such as meeting organization, editing and website maintenance — has reached a critical minimum. Institutional staffing has now been reduced to the level where further reductions will cause the Institute to be unable to support research activities. There is a foundational level of institutional capacity that, if lost, would render the Institute non-functional.

56. In addition, the Institute has ceased quarterly hard-copy publication of *Disarmament Forum* owing to staffing and funding constraints. UNIDIR remains convinced of the importance of the journal, as the sole regular United Nations publication dedicated to disarmament and security analysis. This was the sole regular output of the Institute in French. The Institute is conducting a resource analysis for other formats for the journal. However, continuation of the journal in any format will depend on donor willingness to contribute to its production.

57. The work of UNIDIR during the period covered by the present report was carried out by one director and three support staff, including funding for posts for four and a half operational core staff. The core staff, as of May 2013, included funding for posts for three and a half operational staff. The seven current researchers and three Senior Fellows (one in residence) are complemented by consultants and institutions that are commissioned for specific expertise or short-term activities.

58. Finally, as part of its disarmament education mandate, UNIDIR strives to provide opportunities for young scholars interested in peace and security issues and international organizations through internships. During the reporting period, 10 interns worked at the Institute.

VI. Finances: subvention from the United Nations regular budget and voluntary contributions

59. In accordance with article VII (1) of the statute of UNIDIR, voluntary contributions from States and public and private organizations are the principal source of financing (about 80 per cent of funds during the past few years).

60. Despite the global financial crisis, voluntary contributions to the Institute have been slowly but steadily increasing. However, owing to increasing administrative costs and increasing national limitations on unearmarked (or institutional level) support, the Institute continues to struggle to cover institutional costs. Approximately 80 per cent of all voluntary contributions in recent years have been earmarked for specific projects. During the period covered by the report, only 10 per cent of Member States (fewer than 20) contributed core funding to UNIDIR. Simply maintaining institutional staff to fulfil financial, administrative and operational requirements costs about $1,900,000 per annum, as compared with income from voluntary sources of around $600,000 in 2013 for supporting institutional costs. Part of the resource mobilization strategy has been to better account for costs of related core staff activities within the budgets of specific projects (as indirect costs). While assisting with cost recovery, this method results in higher project budgets, which is having an increasingly dissuasive effect on potential donors.

61. In addition, while Member States have demanded and are highly supportive of overall United Nations reform, concerns have been raised, including by the Institute's largest donors, about possible negative impacts to the Institute resulting from the change management proposal to transform UNIDIR from an autonomous institute to a component of a larger entity of the United Nations common system that would comprise library, training and research functions. Member States' concerns have not only centred on questions of the Institute's autonomy and independence of research, but some donors have also questioned whether any cost savings via proposed shared support services could offset the new costs of the composite entity's much larger administrative and management structure. The Board of Trustees of UNIDIR, while supportive of United Nations reform efforts, has expressed similar concerns.

62. Regarding the subvention from the United Nations regular budget, article VII (2) of the statute of UNIDIR establishes that the subvention is to be used towards meeting the costs of the Director and core staff of the Institute. However, for many years the subvention has covered, at most, the costs of the Director. Indeed, in 2014, the subvention is projected to cover only 84 per cent of the costs of the Director.

63. In recent years, support for the maintenance and even increase of the regular budget subvention has been seen on numerous occasions. Yet the amount of the subvention has remained roughly the same, with annual cost adjustments, for the past 10 years. In 2004, the Secretary-General considered the continuing need for a subvention for UNIDIR and concluded that the regular budget subvention was vital for ensuring the independent and continuous nature of the normal functioning of the Institute (see A/C.5/59/3/Add.1). In 2005, the General Assembly adopted resolution 60/89 recommending that the Secretary-General implement the recommendations of the Office of Internal Oversight Services and the decisions of the Board of Trustees that the costs of the core staff of the Institute be funded from the regular budget of

the United Nations, and that ways to increase funding within existing resources continue to be sought. In 2010, the Assembly repeated that call in its resolution 65/87. Support has also been expressed by individual Member States for greater regular budget support for the core staff of the Institute. However, implementing those recommendations has thus far proven impossible. The issue of the subvention and its coverage is being considered as part of the Institute's development of a sustainable long-term funding structure "comprising regular and extrabudgetary funding"; however, any increase in regular budgetary support is far from assured.

64. In section IV of its resolution 66/247, the General Assembly approved a subvention for UNIDIR of $577,800 (before recosting) for the biennium 2012-2013.

65. The UNIDIR budget for 2013 is estimated at $3,084,600 and for 2014 at $1,501,400. Both these figures are estimates, as voluntary funding is received by the Institute on a rolling basis. However, the 2014 figure includes only relatively assured income; this estimate will increase as the Institute receives new pledges for projects under development. That said, as can be deduced from annex I to the present report, income is barely covering expenditure for both years. Further, as donations come into the Institute at unpredictable intervals, cash flow for day-to-day operations is at risk.

VII. Conclusions

66. The period through 2015 will be extremely active for the disarmament community. Building on its 30 years of experience and its global reach, UNIDIR — as a valued and trusted independent voice at the international level — will continue to pursue its mandate to support efforts to make progress towards a peaceful and prosperous world. However, UNIDIR cannot do this alone. Increased financial support from Member States, and the United Nations regular budget, is urgently needed to ensure the future viability of the Institute.

Annex I

Income and expenditure for 2011 and 2012 and estimates for 2013 and 2014

(Thousands of United States dollars)

Items	*2011*	*2012*	*2013 (estimates)*[a]	*2014 (estimates)*[a]	*Difference (2014-2013)*
Funds available at the beginning of the year	1 588.8	1 365.2	1 998.7	770.0	(1 228.7)
Income:					
Voluntary contributions and public donations	2 715.3[b]	3 673.3[e]	1 656.9[g]	603.3[j]	(1 053.5)
Subvention from the United Nations regular budget	300.4	276.6	301.2	288.9	(12.3)
Other inter-organization contributions	30.0[b]	27.6[e]	18.1[g]	0.0	(18.1)
Interest income	21.9	13.1	10.0	8.0	(2.0)
Miscellaneous income	20.9	14.2	10.0	10.0	0.0
Total income	**3 088.5**	**4 004.8**	**1 996.2**	**910.2**	**(1 086.0)**
Prior-period adjustments	0.0	0.0	0.0	0.0	0.0
Refund to donors	(90.2)[c]	0.0	(140.3)[h]	0.0	140.3
Prior-period obligations	0.0	8.4	0.0	0.0	0.0
Total funds available	**4 587.1**	**5 378.3**	**3 854.6**	**1 680.2**	**(2 174.4)**
Expenditure:					
Staff and other personnel costs	2 766.4	2 500.0	2 458.6	1 380.1	(1 078.5)
Travel	102.1	108.2	198.0	31.0	(167.0)
Contractual services	132.7	96.5	27.9	8.0	(19.9)
Operating expenses	59.0	33.3	110.8	24.6	(86.2)
Acquisitions	2.3	11.6	34.7	0.0	(34.7)
Fellowships grants and other	1.2	473.3	110.4	0.0	(110.4)
Total, direct expenditure	**3 063.7**	**3 222.9**	**2 940.4**	**1 443.7**	**(1 496.7)**
Programme support costs	158.2	156.8	144.2	57.7	(86.5)
Total expenditure	**3 221.9**	**3 379.7**	**3 084.6**	**1 501.5**	**(1 583.2)**
Fund balance at the end of the year	**1 365.2**[d]	**1 998.6**[f]	**770.0**[i]	**178.7**[k]	**(591.3)**

(Footnotes on following page)

(Footnotes to Table)

[a] These figures are likely to be increased upon the confirmation of new funding proposals, as has consistently been the case in the past. As an addendum, 2013 and 2014 estimates are based on assured income to the Institute as of 30 March 2013; fundraising will continue throughout the period.
[b] See annex II for details of UNIDIR 2011 income from voluntary sources.
[c] Refund of unspent funds to the European Commission for the project entitled "Supporting the arms trade treaty negotiations through regional discussions and expertise sharing".
[d] Includes $332,900 required as operating cash reserve for 2011.
[e] See annex II for details of UNIDIR 2012 income from voluntary sources.
[f] Includes $322,100 required as operating cash reserve for 2012.
[g] See annex II for details of UNIDIR 2013 estimated income from voluntary contributions.
[h] Refund of unspent funds to the European Commission for the project entitled "Supporting the arms trade treaty negotiations through regional discussions and expertise sharing".
[i] Includes $334,700 required as operating cash reserve for 2013.
[j] See annex II for details of UNIDIR 2014 estimated income from Voluntary contributions. As these estimates are based only on income that has been consistent over several years, actual voluntary income likely will increase as pending and new funding proposals are signed, as has consistently been the case.
[k] Includes $173,200 required as operating cash reserve for 2014.

Resource requirements for 2014

A. Direct programme and administrative costs for 2014

Voluntary contributions to the Institute traditionally are received on a rolling basis, as most contributors are able to provide funding only within a single fiscal year. In the past 10 years, UNIDIR has received only one multi-year pledge. In addition, 80 per cent of voluntary contributions are provided based on project proposals, and come in over the course of any one year. Since it is therefore not possible to predict income for 2014, the expenditure provisions for research projects and administrative costs have been estimated at the absolute minimum. These figures will be adjusted as funding for 2014 comes forward.

Staff and other personnel costs: $1,380,100. This provision reflects a decrease of $1,078,500 over the 2013 revised requirements. These provisions include $650,400 for "Posts controlled by staffing table" (based on standard salary costs applicable to Geneva for 2013 — Version 21). In 2014, the regular staff will consist of the Director (D-2) and two General Service staff, as follows:

(Thousands of United States dollars)

Grade	*Total net salary*	*Common staff costs*	*Staff assessment*	*Representation allowance*	*Total*
D-2	230.5	78.3	34.3	0.6	343.7
General Service	127.2	43.2			170.4
General Service, Other level	101.7	34.6			136.3
Total					**650.4**

The provision under this heading also includes $2,400 for "Supplementary conference services", $20,000 for "Ad Hoc expert groups" and $707,300 for "Other personnel costs". These figures will increase as new projects are funded.

Official travel of staff: $31,000. At this stage, the estimated requirements for "Travel of staff" in 2014 will be mainly used for institutional travel ($25,000). The project-related travel of staff amounts to $6,000 for the time being. These provisions reflect a decrease of $167,000 over the revised 2013 resources requirements mainly because the European Union project entitled "Facilitating the process for the development of an international code of conduct for outer space activities" ends in 2013. However, the provision under this heading will increase as new projects are funded.

Contractual services: $8,000. This provision reflects a decrease of $19,900 over the 2013 budget requirement. These resource requirements include $1,000 for United Nations-sponsored conference costs, $2,000 for training and $5,000 for contractual services for the website hosting. However, the provision under this heading will increase as new projects are funded.

Operating expenses: $24,600. These estimated requirements show a decrease of $86,200 over the revised 2013 requirements. They include $1,000 for photographic supplies, $2,100 for hospitality, $1,000 for rental of premises, $4,000 for rental of office equipment, $1,500 for bank charges and $15,000 for communications. However, the provision under this heading will increase as new projects are funded.

No provision is made at this stage for acquisitions. This results in a decrease of $34,700 over the revised 2013 resources requirements. However, the provision under this heading will increase as new projects are funded.

No provision is made at this stage for fellowships and other grants. This results in a decrease of $110,400 over the 2013 resources requirements. However, the provision under this heading will increase as new projects are funded.

B. Programme support costs

A provision of $57,700 representing 5 per cent of the total estimated expenditure less the estimated amount of the United Nations regular budget subvention of $288,900 will be needed for programme support costs in 2014.

C. Operating cash reserve

In compliance with administrative instruction ST/AI/284/Rev.1, an amount of $173,200 will be kept as an operating cash reserve. It represents 15 per cent of the total 2014 estimated expenditure funded from extrabudgetary resources, with the exception of the expenditure funded by the European Commission, for which a 5 per cent rate is applied.

Annex II

Voluntary contributions to the United Nations Institute for Disarmament Research for 2011 and 2012 and estimates for 2013 and 2014

(United States dollars)

Voluntary contribution	*2011*	*2012*	*2013*	*2014[a]*
A. Government contributions	1 525 495	2 411 785	975 944	583 309
Austria	10 000			
Canada	10 194		55 241	
China	20 000	20 000	20 000	20 000
Finland	105 896	51 948	79 576	51 086
France	160 255	175 599		
Germany	173 640	272 376	239 593	
Hungary	19 711	13 106		
India		10 000	9 127	10 000
Indonesia		10 000	16 000	10 000
Iraq			4 982	
Ireland	39 756			
Israel[b]	9 642	9 642	10 000	10 000
Japan		40 732	23 585	
Luxembourg		28 184	10 000	10 000
Malaysia		10 000		
Mexico	3 000	3 000	3 000	3 000
Netherlands		571 000	5 000	
New Zealand	17 503			
Norway	752 723	902 072	272 775	256 3.6
Pakistan		4 978	4 884	5 000
Russian Federation	100 000	100 000	100 000	100 000
Turkey	4 000	4 000	4 000	4 000
Serbia			2 000	
Switzerland	79 176	124 148	96 182	83 857
United States of America	20 000	61 000	20 000	20 000
B. Intergovernmental contributions	1 024 737	1 163 339	653 101	0
European Commission	1 001 404	1 156 716	649 867	
OIF	23 333	6 623	3 234	
C. Public donations	165 012	98 128	27 811	20 000
Foundation for International Relations and Development Studies (Switzerland)	63 310	41 098		
Other	40 000			

Voluntary contribution	*2011*	*2012*	*2013*	*2014[a]*
Northeastern University			7 811	
Miscellaneous	5 703	1 030		
Secure World Foundation	36 000	36 000		
Simons Foundation	20 000	20 000	20 000	20 000
Total, voluntary contributions (A+B+C)	**2 715 244**	**3 673 252**	**1 656 857**	**603 309**
D. Inter-organization	30 000	27 600	18 075	0
UNDP	30 000			
United Nations Office for Disarmament Affairs		27 600	18 075	
Grand total (A+B+C+D)	**2 745 244**	**3 700 852**	**1 674 932**	**603 309**

[a] The estimates for 2014 contributions are based on regular annual contributions and there is no guarantee at this stage that donors will continue to provide these funds.
[b] $9,624 received from Israel in 2011 but earmarked for 2012.